



-1-

## UNITED STATES PATENT AND TRADEMARK OFFICE

Late Application of: Kwok Ng et al.

Serial No.: 10/645,022

Filed: August 21, 2003

Art Unit: 1753

Examiner: To Be Assigned

Title: SILICON NANOPARTICLES EMBEDDED IN POLYMER MATRIX

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

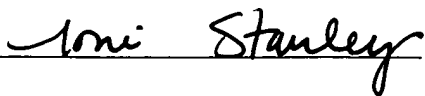
Dear Sir:

This Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

---

**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on January 15, 2004.

  
Signature

Toni Stanley  
(Printed name of person certifying)

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Respectfully submitted,

WINSTEAD SECHREST & MINICK P.C.

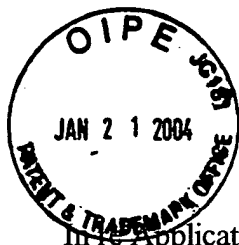
Attorney for Applicants

By: 

Kelly K. Kordzik  
Reg. No. 36,571

P.O. Box 50784  
Dallas, Texas 75201  
(512) 370-2851

AUSTIN\_1\241047\1  
12179-P112US



- 1 -

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Kwok Ng et al.

Serial No.: 10/645,022

Filed: August 21, 2003

Group Art Unit: 1753

Title: SILICON NANOPARTICLES EMBEDDED IN POLYMER MATRIX

**STATEMENT FOR INFORMATION DISCLOSURE**  
**UNDER 37 C.F.R. 1.97(e)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**IDENTIFICATION OF INFORMATION DISCLOSURE**  
**STATEMENT FOR WHICH THIS STATEMENT IS BEING MADE**

1. This statement is being made for the Supplemental Information Disclosure Statement  
☒ accompanying this statement.  
☐ filed \_\_\_\_\_.

---

**CERTIFICATION UNDER 37 C.F.R. § 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on January 15, 2004.

\_\_\_\_\_  
Signature

Toni Stanley

(Printed name of person certifying)

**STATEMENT**

2. I (We), the person(s) signing below state:

- that each item of information contained in the supplemental information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. 37 C.F.R. § 1.97(e)(1).

**IDENTIFICATION OF PERSON(S) MAKING THIS STATEMENT**

3. The person making this statement is  
(check each applicable item)

- ☐ the inventor(s) who signs below

\_\_\_\_\_  
Signature of inventor

\_\_\_\_\_  
(Type name of inventor who is signing)

- ☐ a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the inventor, with the assignee, or with anyone to whom there is an obligation to assign the application (37 C.F.R. § 1.56(c)) and who signs below.

\_\_\_\_\_  
Signature of Person Making Statement

\_\_\_\_\_  
(type name of person who is signing)

\_\_\_\_\_  
Address of person who is signing

☒ the practitioner who signs below on the basis of the information:  
(check each applicable item)

- ☐ supplied by the inventor(s)
- ☒ supplied by an individual designated in § 1.56(c).
- ☐ in the practitioner's file.

  
\_\_\_\_\_  
Signature of Practitioner

Kelly K. Kordzik  
Reg. No. 36,571

WINSTEAD SECHREST & MINICK P.C.  
Attorneys for Applicants  
P.O. Box 50784  
Dallas, Texas 75201  
(512) 370-2851

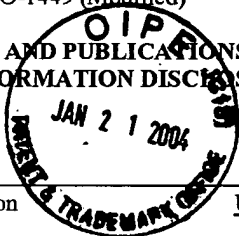
**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Applicants: Kwok Ng et al.

Filing Date: August 21, 2003

Group: 1753

Atty. Docket No.: 12179-P112US



Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
____AAA	6,049,090	4/11/00	Clark, Jr.	257	13	
____ABA	5,720,827	2/24/98	Simmons	136	250	
____ACA	5,986,206	11/16/99	Kambe et al.	136	263	
____ADA	2002/0075126	6/20/02	Reitz et al.	338	21	10/03/01
____AEA	6,515,314	2/4/03	Duggal et al.	257	184	
____AFA						
____AGA						
____AHA						
____AIA						
____AJA						
____AKA						
____ALA						
____AMA						
____ANA						
____AOA						
____APA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
____AQA	WO 99/25028	5/20/99	PCT			X
____ARA						
____ASA						
____ATA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial

\_\_\_\_AUA J. Mira et al., "Dynamic Magnetic Behaviour of Interacting  $\gamma$ -Fe<sub>2</sub>O<sub>3</sub> Nanoparticles Dispersed in Epoxy Resin," *IEEE Transactions on Magnetics*, Vol. 33, No. 5, September 1997, pp. 3724-3726.

\_\_\_\_AVA

\_\_\_\_AWA

\_\_\_\_AXA

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.